



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Chun-Ying HUANG, et al.

Serial No.: 09/768,442

Group No.: 1614

Filed: January 24, 2001

Examiner.: --

For: PHARMACEUTICAL COMPOSITION FOR THE TREATMENT OF
HEPATOCELLULAR CARCINOMA

Attorney Docket No.: U 012951-1

Assistant Commissioner for Patents
Washington, D.C. 20231

Sirs:

SUBSTITUTE VERIFIED STATEMENT

CLAIMING SMALL ENTITY STATUS

Kindly substitute the attached Verified Statement claiming Small Entity Status
with original ink signature for the document previously filed on January 24, 2001.

Respectfully submitted,

JANET I. CORD
LADAS & PARRY
26 WEST 61ST STREET
NEW YORK, NEW YORK 10023
REG. NO. 33,778 (212)708-1935

CERTIFICATE OF MAILING (37 CFR 1.8a)

I hereby certify that this paper (along with any paper referred to as being attached or
enclosed) is being deposited with the United States Postal on the date shown below with
sufficient postage as first class mail in an envelope addressed to the: Commissioner of
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Janet I. Cord

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Date: July 20, 2001

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VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
 (37 CFR 1.9(f) AND 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am
 Check one ☐ a) () the owner of the small business concern identified below:
☐ b) () an official of the small business concern empowered to act on behalf of the concern
 Insert company name and address identified below:

NAME OF CONCERN: TTY Biopharm Company Limited

ADDRESS OF CONCERN: 4Fl., No. 170, Sec. 3, Min-Chuang E. Rd., Taipei, Taiwan, R.O.C.

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

Insert title of application, inventor's names FOR THE ☐ I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled PHARMACEUTICAL COMPOSITION
TREATMENT OF HEPATOCELLULAR CARCINOMA by inventor(s) Chun-Ying Huang; Jia-Kang Wang-Peng; Li-Tzong Chen; Tsang-Wu Liu; Jang-Yang Chang and Min-Chu Hsu described in

Check one, fill in if b) or c) ☐ a) () the specification filed herewith.
☒ b) (X) application serial no. 09/768,442, filed Jan, 24, 2001
☐ c) () patent no. _____, issued _____

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c), if that person had made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). **NOTE:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Insert co-owners, if any, and check a), b) or c) ☐ NAME _____
☐ ADDRESS _____
☐ a) () INDIVIDUAL ☐ b) () SMALL BUSINESS CONCERN ☐ c) () NONPROFIT ORGANIZATION

☐ NAME _____
☐ ADDRESS _____
☐ a) () INDIVIDUAL ☐ b) () SMALL BUSINESS CONCERN ☐ c) () NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereof, or any patent to which this verified statement is directed.

Insert ☐ NAME Jung-Chin Lin
☐ TITLE President
☐ ADDRESS 4Fl., No. 170, Sec. 3, Min-Chuang E. Rd., Taipei, Taiwan, R.O.C.
 Sign, date ☐ SIGNATURE Jung-Chin Lin DATE Feb. 20, 2001